



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office

Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.
08/976,159	11/21/97	BRANDER	N 265672

KENYON & KENYON  
ONE BROADWAY  
NEW YORK NY 10004

LM71/1216

EXAMINER

ROMAIN, J

ART UNIT

PAPER NUMBER

2765

DATE MAILED: 12/16/99

Please find below and/or attached an Office communication concerning this application or proceeding.

Commissioner of Patents and Trademarks



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office

89

NOTICE OF ALLOWANCE AND ISSUE FEE DUE

LM71/1216

KENYON & KENYON  
ONE BROADWAY  
NEW YORK NY 10004

APPLICATION NO.	FILING DATE	TOTAL CLAIMS	EXAMINER AND GROUP ART UNIT	DATE MAILED
08/976,159	11/21/97	034	ROMAIN, J	2765 12/16/99
First Named Applicant BRANDER,		35 USC 154(b) term ext. =	0 Days.	

TITLE OF  
INVENTION

ENHANCED MATCHING APPARATUS AND METHOD FOR POST-TRADE PROCESSING AND  
SETTLEMENT OF SECURITIES TRANSACTIONS

ATTY'S DOCKET NO.	CLASS-SUBCLASS	BATCH NO.	APPLN. TYPE	SMALL ENTITY	FEES DUE	DATE DUE
2 2656/2	705-037.000	F68	UTILITY	NO	\$1210.00	03/16/00

**THE APPLICATION IDENTIFIED ABOVE HAS BEEN EXAMINED AND IS ALLOWED FOR ISSUANCE AS A PATENT.  
PROSECUTION ON THE MERITS IS CLOSED.**

**THE ISSUE FEE MUST BE PAID WITHIN THREE MONTHS FROM THE MAILING DATE OF THIS NOTICE OR THIS  
APPLICATION SHALL BE REGARDED AS ABANDONED. THIS STATUTORY PERIOD CANNOT BE EXTENDED.**

**HOW TO RESPOND TO THIS NOTICE:**

I. Review the SMALL ENTITY status shown above.

If the SMALL ENTITY is shown as YES, verify your current SMALL ENTITY status:

- A. If the status is changed, pay twice the amount of the FEE DUE shown above and notify the Patent and Trademark Office of the change in status, or
- B. If the status is the same, pay the FEE DUE shown above.

If the SMALL ENTITY is shown as NO:

- A. Pay FEE DUE shown above, or
- B. File verified statement of Small Entity Status before, or with, payment of 1/2 the FEE DUE shown above.

II. Part B-Issue Fee Transmittal should be completed and returned to the Patent and Trademark Office (PTO) with your ISSUE FEE. Even if the ISSUE-FEE has already been paid by charge to deposit account, Part B Issue Fee Transmittal should be completed and returned. If you are charging the ISSUE FEE to your deposit account, section "4b" of Part B-Issue Fee Transmittal should be completed and an extra copy of the form should be submitted.

III. All communications regarding this application must give application number and batch number. Please direct all communications prior to issuance to Box ISSUE FEE unless advised to the contrary.

**IMPORTANT REMINDER: Utility patents issuing on applications filed on or after Dec. 12, 1980 may require payment of maintenance fees. It is patentee's responsibility to ensure timely payment of maintenance fees when due.**

PATENT AND TRADEMARK OFFICE COPY

**Notice of Allowability**Application No.  
**08/976,159**

Applicant(s)

**Brander et al.**

Examiner

**Romain Jeanty**

Group Art Unit

**2765**

All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance and Issue Fee Due or other appropriate communication will be mailed in due course.

This communication is responsive to 5-14-99

The allowed claim(s) is/are 1-9 and 12-36

The drawings filed on \_\_\_\_\_ are acceptable.

Acknowledgement is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d).

All  Some\*  None of the CERTIFIED copies of the priority documents have been

received.

received in Application No. (Series Code/Serial Number) \_\_\_\_\_

received in this national stage application from the International Bureau (PCT Rule 17.2(a)).

\*Certified copies not received: \_\_\_\_\_

Acknowledgement is made of a claim for domestic priority under 35 U.S.C. § 119(e).

A SHORTENED STATUTORY PERIOD FOR RESPONSE to comply with the requirements noted below is set to EXPIRE THREE MONTHS FROM THE "DATE MAILED" of this Office action. Failure to timely comply will result in ABANDONMENT of this application. Extensions of time may be obtained under the provisions of 37 CFR 1.136(a).

Note the attached EXAMINER'S AMENDMENT or NOTICE OF INFORMAL APPLICATION, PTO-152, which discloses that the oath or declaration is deficient. A SUBSTITUTE OATH OR DECLARATION IS REQUIRED.

Applicant MUST submit NEW FORMAL DRAWINGS

because the originally filed drawings were declared by applicant to be informal.

including changes required by the Notice of Draftsperson's Patent Drawing Review, PTO-948, attached hereto or to Paper No. \_\_\_\_\_.

including changes required by the proposed drawing correction filed on \_\_\_\_\_, which has been approved by the examiner.

including changes required by the attached Examiner's Amendment/Comment.

Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the reverse side of the drawings. The drawings should be filed as a separate paper with a transmittal letter addressed to the Official Draftsperson.

Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

Any response to this letter should include, in the upper right hand corner, the APPLICATION NUMBER (SERIES CODE/SERIAL NUMBER). If applicant has received a Notice of Allowance and Issue Fee Due, the ISSUE BATCH NUMBER and DATE of the NOTICE OF ALLOWANCE should also be included.

**Attachment(s)**

Notice of References Cited, PTO-892

Information Disclosure Statement(s), PTO-1449, Paper No(s). \_\_\_\_\_

Notice of Draftsperson's Patent Drawing Review, PTO-948

Notice of Informal Patent Application, PTO-152

Interview Summary, PTO-413

Examiner's Amendment/Comment

Examiner's Comment Regarding Requirement for Deposit of Biological Material

Examiner's Statement of Reasons for Allowance

Art Unit: 2765

### ***Drawings***

1. The application having been allowed, formal drawings are required in response to this Office action.
2. Formal drawings are now required and must be filed within the THREE MONTH shortened statutory period set for reply in the "NOTICE OF ALLOWABILITY" (PTOL-37 or PTO-37). Extensions of time may be obtained under the provisions of 37 CFR 1.136(a). Failure to timely submit the drawings will result in **ABANDONMENT** of the application. The drawings should be submitted as a separate paper with a transmittal letter which is addressed to the Official Draftsperson. The art unit number, application number and number of drawing sheets should be written on the reverse side of the drawings.

### ***Allowable Subject Matter***

3. Claims 1-9 and 12-36 are allowed.

### **REASON FOR ALLOWANCE**

4. The following is an examiner's statement of reasons for allowance:

Prior art of record taken alone or in combination fails to teach or suggest match at the processing processor, the institution communication within the broker communication based on information contained in both communication taken in combination with a system for settlement of a securities trade by obtaining agreement as to the details of the trade among a broker, institution, agent and interested parties as recited in independent claim 1 and in the specification.

Prior art of record taken alone or in combination fails to teach or suggest match the broker communication and the institution communication by matching the data within a preselected set of the corresponding data fields in the broker and institution communications taken in combination

Art Unit: 2765

with a system for settlement of securities trade among a broker, institution, agent and interested party as recited in independent claims 9 and 12 and in the specification.

Prior art of record taken alone or in combination fails to teach or suggest comparing the data within the data fields of the broker communication within the data fields of the institution communication and if there is a match, generates a confirmation for the trade taken in combination with a computerized communication system used to exchange communications between a broker and an institution in the settlement of a securities trade as recited in independent claim 13 and in the specification.

Prior art of record taken alone or in combination fails to teach or suggest match a trade communication containing notice of order execution information from one of the parties to a communication containing a trade allocation information from another parties taken in combination with a computerized communication system for exchanging post-trade information between the parties necessary for the settlement of securities trade as recited in independent claim 14 and in the specification.

Prior art of record taken alone or in combination fails to teach or suggest match the institution communication with the broker communication based on information contained in both communications and institution communications taken in combination with a system executing trade post-trade communications in the settlement of a securities trade among a broker, institution, agent and interested parties as recited in independent claim 21 and in the specification.

Prior art of record taken alone or in combination fails to teach or suggest match the institution communication with the broker communication based on information contained in both communications taken in combination with a method of operating a computer to execute the communications necessary for settlement of securities trade among a broker, institution, agent and interested parties as recited in independent claims 22 and 29 and in the specification.

Prior art of record taken alone or in combination fails to teach or suggest match at the computer processor, the institution communication with the last broker communication based on information contained in both communications taken in combination with a system for settlement

Art Unit: 2765

trade by communicating the details of the trade among a broker, institution, agent and interested parties as recited in independent claim 31 and in the specification.

*Conclusion*

5. Any comments considered necessary by applicant must be submitted no later than the payment of the issue fee and, to avoid processing delays, should preferably accompany the issue fee. Such submissions should be clearly labeled "Comments on Statement of Reasons for Allowance."

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Romain Jeanty whose telephone number is (703) 308-9585. The examiner can normally be reached on weekdays from 8:00 a.m to 4:30 p.m.

If attempts to reach the examiner are not successful, the examiner's supervisor, Allen R. MacDonald, can be reached at (703) 305-9708.

The fax number for Formal or Official faxes to Technology Center 2700 is (703) 308-9051 or 9052. Draft or Informal faxes for this Art Unit can be submitted to (703) 308-5357.

Any inquiry of a general nature or relating to the status of this application should be directed to the group receptionist whose telephone number is (703)308-3900.

Romain Jeanty

December 7, 1999.



ALLEN R. MACDONALD  
SUPERVISORY PATENT EXAMINER